

03/13/01

J1031 U.S. PTO

03-15-01

A

UTILITY  
PATENT APPLICATION  
TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 1040659-991101

First Inventor Grimes et al.

Title Automated Process Guidance System and Method

Express Mail Label No. EL657235384US

J1046 U.S. PTO

03/13/01

## APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS  
TO:Commissioner for Patents  
Box Patent Application  
Washington, DC 20231

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)  
(Submit an original, and a duplicate for fee processing)
2. ☒ Applicant claims small entity status.  
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 44]  
(preferred arrangement set forth below)
- Descriptive title of the invention
  - Cross Reference to Related Applications
  - Statement Regarding Fed sponsored R&D
  - Reference to sequence listing, a table or a computer program listing appendix
  - Background of the Invention
  - Brief Description of the Drawings (if filed)
  - Detailed description
  - Claim(s)
  - Abstract of the Disclosure
4. ☒ Drawing(s) (35 U.S.C. 113) [ Total Sheets 19 pgs. ]
5. Oath or Declaration [ Total Pages 5 pgs. ]
- a. ☐ Newly UNexecuted (original or copy)
- b. ☒ Copy from a prior application (37 CFR 1.63(d))  
(for continuation/divisional with Box 17 completed)
- i. ☐ DELETION OF INVENTOR(S)  
Signed statement attached deleting inventor(s)  
named in the prior application, see 37 CFR  
1.63(d)(2) and 1.33(b).
6. ☐ Application Data Sheet. See 37 CFR 1.76.

7. ☐ CD-ROM or CD-R in duplicate, large table or  
Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission  
(if applicable, all necessary)
- a. ☐ Computer Readable Form (CRF)
- b. Specification Sequence Listing on:
- i. ☐ CD-ROM or CD-R (2 copies; or
- ii. ☐ paper
- c. ☐ Statements verifying identity of above copies

## ACCOMPANYING APPLICATION PARTS

9. ☒ Assignment Papers (cover sheet & document(s))
10. ☐ 37 CFR 3.73(b) Statement [ Power of Attorney  
(when there is an assignee) ]
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure [ Copies of  
Statement (IDS)/PTO-1449 IDS Citations ]
13. ☐ Preliminary Amendment (23 pgs.)
14. ☒ Return Receipt Postcard (MPEP 503)  
(Should be specifically itemized)  
Certified Copy of Priority Document(s)  
(if foreign priority is claimed)
15. ☐ Request and Certification under 35 U.S.C. 122  
(b)(2)(E)(i). Applicant must attach form PTO/SB/35  
or its equivalent.
16. ☐
17. ☒ Other: Check # 471014 in the amount of  
\$ 355.00

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No.: 09/292,653

Prior application information: Examiner M. Pender Group/Art Unit: 2762

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

## 18. CORRESPONDENCE ADDRESS

☒ Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐ Correspondence address below

Name	Gray Cary Ware & Freidenrich LLP				
Address	3340 Hillview Avenue				
City	Palo Alto	State	California	Zip Code	94304-1203
Country	US	Telephone	650-320-7426	Fax	

NAME (Print/Type)	Timothy W. Lohse	Registration No. (Attorney/Agent)	35,255
Signature		Date	3/13/2001

# FEE TRANSMITTAL

## for FY 2001

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$ ) 355.00

**Complete if Known**

Application Number	Not Yet Assigned
Filing Date	March 13, 2001
First Named Inventor	Grimse et al.
Examiner Name	Not Yet Assigned
Group Art Unit	Not Yet Assigned
Attorney Docket No.	1040659-991101

**METHOD OF PAYMENT**

1. ☐ The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 07-1896

Deposit Account Name

☒ Charge Any additional Fee Required Under 37 CFR 1.16 and 1.17

☒ Applicant claims small entity status. See 37 CFR 1.27

2. ☒ Payment Enclosed:

☒ Check ☐ Credit card ☐ Money Order ☐ Other

**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
101 710	201 355	Utility filing fee	355.00
106 320	206 160	Design filing fee	
107 490	207 245	Plant filing fee	
108 710	208 355	Reissue filing fee	
114 150	214 75	Provisional filing fee	

SUBTOTAL (1) (\$ ) 355.00

**2. EXTRA CLAIM FEES**

Total Claims	Extra Claims	Fee from below	Fee Paid	
10	-20** = 0	X	0	
Independent Claims	3	-3** = 0	X	0
Multiple Dependent		X		

Large Entity Fee Code	Small Entity Fee Code	Fee Description
103 18	203 9	Claims in excess of 20
102 80	202 40	Independent claims in excess of 3
104 270	204 135	Multiple dependent claim, if not paid
109 80	209 40	** Reissue independent claims over original patent
		** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$ )

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Fee Code	Small Entity Fee Code	Fee Description	Fee Paid
105 130	205 65	Surcharge - late filing fee or oath	
127 50	227 25	Surcharge - late provisional filing fee or cover sheet	
139 130	139 130	Non-English specification	
147 2,520	147 2,520	For filing a request for ex parte reexamination	
112 920*	112 920*	Requesting publication of SIR prior to Examiner action	
113 1,840*	113 1,840*	Requesting publication of SIR after Examiner action	
115 110	215 55	Extension for reply within first month	
116 390	216 195	Extension for reply within second month	
117 890	217 445	Extension for reply within third month	
118 1,390	218 695	Extension for reply within fourth month	
128 1,890	228 945	Extension for reply within fifth month	
119 310	219 155	Notice of Appeal	
120 310	220 155	Filing a brief in support of an appeal	
121 270	221 135	Request for oral hearing	
138 1,510	138 1,510	Petition to institute a public use proceeding	
140 11	0240 55	Petition to revive - unavoidable	
141 1,240	241 620	Petition to revive - unavoidable	
142 1,240	242 620	Utility issue fee (or reissue)	
143 440	243 220	Design issue fee	
144 600	244 300	Plant issue fee	
122 130	122 130	Petitions to the Commissioner	
123 50	123 50	Petitions related to provisional applications	
126 240	126 240	Submission of Information Disclosure Strms	
581 40	581 40	Recording each patent assignment per property (times number of properties)	
146 710	246 355	Filing a submission after final rejection (37 CFR § 1.129(a))	
149 710	249 355	For each additional invention to be examined (37 CFR § 1.129(b))	
179 710	279 355	Request for Continued Examination (RCE)	
169 900	169 900	Request for expedited examination of a design application	

Other fee (specify)

\* Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ )

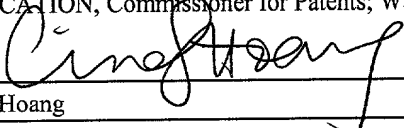


IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

EXPRESS MAIL NUMBER: EL657235384US

DATE OF DEPOSIT: March 13, 2001

I hereby certify that this paper is being deposited with the United States Postal Service "EXPRESS MAIL Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Box PATENT APPLICATION, Commissioner for Patents; Washington, DC 20231.

  
Cindy Hoang

\* \* \*

CERTIFICATE OF MAILING BY EXPRESS MAIL

COMMISSIONER OF PATENTS  
Washington, D.C. 20231

**ATTN: BOX PATENT APPLICATION**

Sir:

Transmitted herewith for filing under 37 CFR 1.53(b) is the patent application of:

INVENTOR(s): Grimse et al.

FOR: AUTOMATED PROCESS GUIDANCE SYSTEM AND METHOD

Enclosed are:

- ☒ Utility Transmittal (1 pg.)
- ☒ pages of specification, claims and abstract
- ☒ 19 sheets of Informal Drawings
- ☒ Executed Declaration and Power of Attorney from Application Serial No. 09/292,653 (6 pgs.)
- ☒ 4 Sets of Form PTO-1595 and Executed Assignments (one from each inventor)
- ☒ Fee Transmittal (2 pgs.)
- ☒ Check # 471014 in the amount of \$355.00
- ☒ Return Postcard